



"I believe CAIS has changed the culture of the San Francisco Adult Probation Department. Probation officers now understand the importance of case management and have the tools they need to help probationers be successful. I am very appreciative of the support the San Francisco Adult Probation Department received from NCCD staff. I highly recommend this risk and needs assessment system to all professionals in community corrections."

Jeanne Woodford, former Chief Adult Probation Officer  
San Francisco Adult Probation Department

The National Council on Crime and Delinquency is the nation's oldest nonprofit criminal justice research organization. NCCD promotes effective, humane, fair, and economically sound solutions to family, community, and justice problems. NCCD conducts research; promotes reform initiatives; and seeks to work with individuals, public and private organizations, and the media to prevent and reduce crime and delinquency.





## CAIS™

Interview  
Conducted

Interview Scored  
Automatically

Risk, Needs, and Supervision  
Strategy Classification Attained

Supervision  
Recommendations Provided

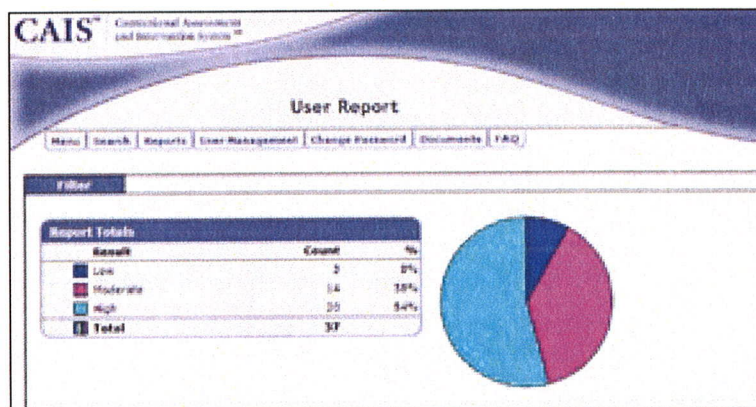
Individual Case  
Plan Developed

## What Works

With agencies focusing on reentry strategies, and at a time when parole revocation rates are at all-time highs in many jurisdictions, better methods of assessment and supervision are clearly needed. CAIS™ combines the best research and assessments available to assist agencies in dealing with the complex issues of offender supervision and treatment.

CAIS goes far beyond individual tools; it is a comprehensive system designed to make the everyday challenges of supervision easier. CAIS identifies the underlying reason for criminal behavior and classifies offenders into supervision strategy groups, giving workers the techniques that are most likely to be successful in managing each offender. This system makes it possible for a worker to know what issues may arise, as well as an offender's probable response to supervision, and helps the worker assume a proactive stance in the supervision process. These specific, proven recommendations for how to effectively supervise each offender result in improved outcomes.

CAIS's state-of-the-art data-reporting package acts as a perfect partner for workers, supervisors, managers, and directors, providing a visual foundation for the case management process. CAIS provides up-to-the-minute information through a secure web-based data system accessible via Internet browser. Specialized reports can be generated in areas such as gender, risk level, needs, ethnicity, worker, unit, and more. Workers can monitor and manage the needs areas of their clients, while managers and directors can use aggregate data to identify treatment service gaps and target resources efficiently.



"This is the first time our tribal court has conducted any type of comprehensive risk and needs assessment for our adult offenders, and it has had positive outcomes for the majority of our court offenders on probation. We currently use this assessment to develop effective case plans and make referrals to resources in our community. The risk assessment and case management classification help our court system provide a method for supervising offenders and have reduced the recidivism rate tremendously. CAIS's web-based data system is also user-friendly and provides me with needed data when submitting for state and federal grants."

Elinor Nault, Court Administrator  
Chippewa Cree Tribal Court, Rocky Boy's Indian Reservation



## Benefits of CAIS™

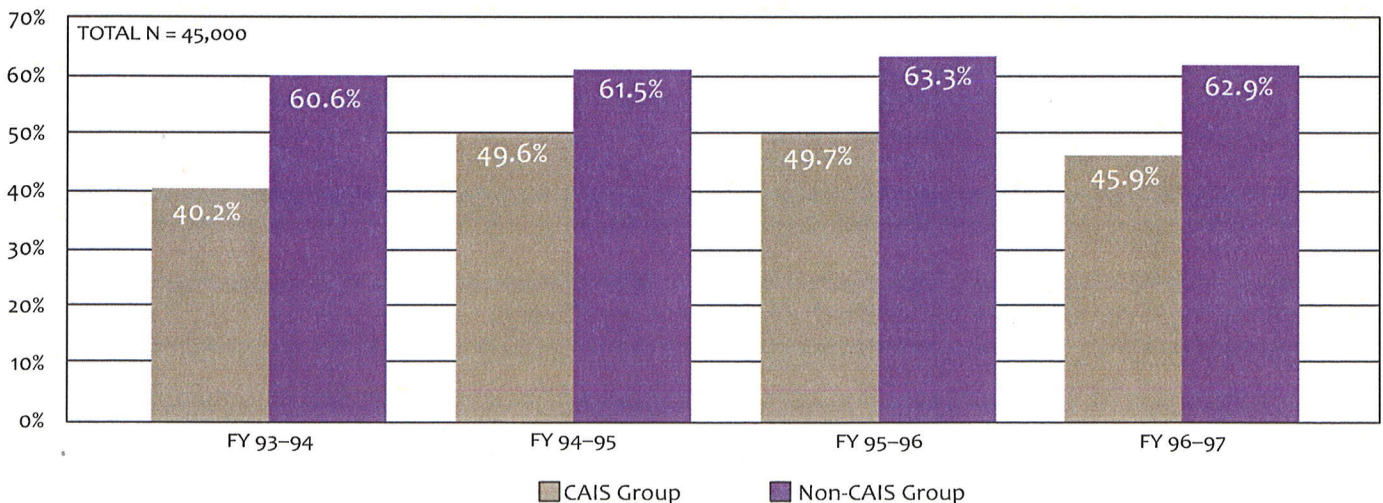
- Clearly effective in reducing recidivism and infractions, CAIS is the only system with solid outcome data. Five separate studies have shown that CAIS is effective in reducing recidivism. An NIJ study demonstrated that the use of CAIS reduced disciplinary reports in institutions.
- Gender-specific system factors in the unique risk and needs areas of women as well as tailoring supervision strategies for women based on the most current research.
- Unmatched validity and reliability.
- Tested for equity with various ethnicities. Used by several tribal courts.
- Supervision strategies emphasize public safety and accountability, focusing efforts on criminogenic needs.
- Designed to improve outcomes for offenders in both institutional and community programs.
- Reassessment tools provide updated information on each offender.
- Data warehousing requires no agency infrastructure, redesign of existing MIS systems, or maintenance cost. Everything is provided through a cost-effective web-based subscription, which requires only an Internet connection.
- Up-to-date information is continuously accessible with password via Internet browser, ensuring that critical information on offenders is immediately available to staff.
- Excellent training package changes the way staff work with offenders.



“CAIS creates the opportunity for line staff to realize two aspects of their agency’s mission: public safety and offender accountability. Additionally, adult offenders, who serve on average two or more years in a prison setting, often leave that environment without the necessary support and guidance to be successful in their communities. CAIS provides both the offender and the parole staff with the necessary data to build a road map of support that enhances the likelihood of the offender’s success in the community.”

Dave Gaspar, former Assistant Director of Adult Institutions  
Arizona Department of Corrections

## EVALUATION RESULTS: Florida Revocation Rates, Community Control Program





SAMPLE  
REPORT

**Worker Name:** Aleman, Toni  
**Unit/Office:** Demonstration  
**Offender:** test: Johnson, Deborah  
**Assessment Date:** 12/04/2007

## I. Primary Case-planning Approach

### A. Categorization

#### Scores

Selective Intervention 46  
 Casework/Control 62  
 Environmental Structure 48  
 Limit Setting 51

**Scored Category:** CC

### B. General Issues Facing These Offenders

#### Unstable Life Pattern

The predominant characteristic of this group is a general instability in their life situation (e.g., changing jobs frequently, family problems, chemical dependency, etc.). Whereas SI-T offenders often have one of these problems on an ongoing basis, CC offenders tend to have several going on at the same time. Typically, they repeat the instability they experienced in their own childhoods by failing to provide consistent support for their families, changing residence frequently, experiencing marital conflict, and often abusing spouses and/or children.

#### Failure Orientation

They experience a lot of failure in their lives, not due to a lack of ability like ES offenders, but due to a lack of goal-directedness. They often possess marketable job skills and have the potential to develop them, but their failure to appropriately deal with their personal problems prevents them from maintaining steady employment. They become easily discouraged and abandon goals out of feelings of hopelessness and worthlessness. They tend to enter adult life with a negative self-perception established early in childhood, which they have already manifested by dropping out of school and associating with others like themselves (including spouses).

#### Self-destructive

As one would expect, this group often attempts to escape the pain of their chaotic lives through alcohol and drug abuse. They are also the most likely to consider and sometimes attempt suicide.

#### Offense Pattern

Offenses generally stem from long-term emotional problems, drinking or drug problems, and/or negative self-

12/04/2007

Assessment for Women

page 1

## CAIS™ Can Reduce Costs

Research has demonstrated that CAIS can improve outcomes for institutional, parole, probation, and reentry initiatives. CAIS helps agencies maximize limited resources by matching resources to offenders most likely to benefit from them. While even modest gains in program effectiveness will offset the cost of implementation many times over, evaluations in multiple jurisdictions demonstrate that CAIS can significantly reduce probation and parole revocations and thereby substantially reduce correctional costs.



"San Mateo County Adult Probation continues to have a very successful and productive experience working with NCCD to adopt CAIS. The training program developed and administered by NCCD was excellent. Our staff was very impressed by the trainer's thoroughness and depth of probation knowledge."

Melissa Wagner, Management Analyst  
 San Mateo County Probation Department

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Centennial  
 Continuing the Struggle for Justice  
**NCCD**



Result	Count	%
Casework Control (CC)	587	35%
Environmental Structure (ES)	161	10%
Selective Intervention-Strategy (SI-S)	209	12%
Selective Intervention-Treatment (SI-T)	549	32%
Limit Setting (LS)	183	11%
<b>Total</b>	<b>1692</b>	

Probation 6/9/11

High Risk  
 Medium Risk 3 months, —

## STRATEGY GROUPS OVERVIEW

Strategy Group	General Characteristics	Why They Get in Trouble	Intervention Goals
Selective Intervention (SI-S)	<ul style="list-style-type: none"> <li>Pro-social values</li> <li>Positive adjustment</li> <li>Positive achievements</li> <li>Good social skills</li> </ul>	<ul style="list-style-type: none"> <li>External stressors</li> </ul>	<ul style="list-style-type: none"> <li>Resolve external stressor</li> <li>Return to school</li> <li>Return to appropriate peers and activities</li> </ul>
Selective Intervention (SI-T)	<ul style="list-style-type: none"> <li>Pro-social values</li> <li>Positive adjustment</li> <li>Positive achievements</li> <li>Good social skills</li> </ul>	<ul style="list-style-type: none"> <li>External stressors</li> <li>Internal, neurotic need</li> </ul>	<ul style="list-style-type: none"> <li>Resolve external stressor</li> <li>Resolve internal problems</li> <li>Return to school</li> <li>Return to appropriate peers and activities</li> </ul>
Limit Setting (LS)	<ul style="list-style-type: none"> <li>Antisocial values</li> <li>Prefers to succeed outside the rules/law</li> <li>Role models operate outside the rules/law</li> <li>Manipulative, exploitive</li> </ul>	<ul style="list-style-type: none"> <li>Motivated by power, excitement</li> <li>Straight life is dull</li> </ul>	<ul style="list-style-type: none"> <li>Substitute pro-social means to achieve power, money, excitement</li> <li>Change attitudes and values</li> <li>Use skills in pro-social ways</li> <li>Protect the school environment</li> </ul>
Environmental Structure (ES)	<ul style="list-style-type: none"> <li>Lack of social and survival skills</li> <li>Poor impulse control</li> <li>Gullible</li> <li>Naïve</li> <li>Poor judgment</li> </ul>	<ul style="list-style-type: none"> <li>Used by more sophisticated criminals</li> <li>Difficult generalizing from past experience</li> </ul>	<ul style="list-style-type: none"> <li>Improve social and survival skills</li> <li>Increase impulse control</li> <li>Develop realistic education program</li> <li>Limit contact with negative peers</li> </ul>
Casework/Control (CC)	<ul style="list-style-type: none"> <li>Broad range instability</li> <li>Chaotic lifestyle</li> <li>Emotional instability</li> <li>Multi-drug abuse/addiction</li> <li>Negative attitudes towards authority</li> </ul>	<ul style="list-style-type: none"> <li>Positive effort blocked by: <ul style="list-style-type: none"> <li>Chaotic lifestyle</li> <li>Drug/alcohol use</li> <li>Emotional instability</li> </ul> </li> <li>Unable to commit to long-term change</li> </ul>	<ul style="list-style-type: none"> <li>Increase stability</li> <li>Control drug/alcohol abuse</li> <li>Overcome attitude problems</li> <li>Foster ability to recognize and correct self-defeating behavior</li> </ul>

# **SUPERVISION GUIDELINES BY STRATEGY GROUP**

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## **Explanation of the CAIS™ Assessment Report**

Upon completion of the CAIS assessment in the web application, the interviewer will be able to produce an assessment report specific to the offender. This assessment report is based on the recorded responses from the initial assessment.

### **Primary Case-planning Approach**

Scores for the strategy groups are the result of a complex set of research-based scoring rules. Based on these scores, a selected strategy group will be identified. Each assessment report has a numerical value associated with each strategy group. Generally, one strategy group scores significantly higher than the others, and the supervision strategies associated with that group are the ones most likely to result in positive change. Occasionally, two or more of the strategy groups score essentially the same (plus or minus three points of each other). When this occurs, the application will select a specific strategy group, according to the following research-based rules:

- Casework/Control (CC) strategies supersede all other strategy groups. If there is a scoring tie that involves the CC group, the assessment report will identify the CC strategies as the most likely to produce positive change.
- Scoring ties between Selective Intervention (SI) and Environmental Structure (ES) groups lead to an ES identification. With these offenders, ES strategies are most likely to result in positive change.
- Scoring ties between Limit Setting (LS) and SI or ES lead to the SI or ES identification. With these offenders, the non-LS strategies are most likely to result in positive change.

### ***General Characteristics of These Offenders***

The offender characteristics that introduce each strategy are general characteristics. They will accurately describe most offenders of that particular strategy group most of the time but, of course, are not intended as absolutes.

### ***Goals of Supervision***

The suggested goals are also meant to be applied flexibly rather than rigidly. The suggested goals should be applicable in a general sense. They are not a substitute for the case plan; rather, they are a resource for preparing an individualized case plan. The goal is to provide a consistent approach to supervision while simultaneously responding to individual needs.

## ***Common Needs/Referrals***

This section identifies areas of need and types of likely referrals for this particular strategy group.

## ***Caseworker/Offender Relationship***

The comments concerning the caseworker/offender relationship are intended to offer the caseworker some assistance in anticipating the kinds of problems that may be encountered in working with offenders in each particular strategy group. They also provide guidance in establishing a productive relationship between the caseworker and the offender.

## ***Techniques of Supervision***

As with the previous categories, the delineated techniques are generally applicable to offenders in the strategy group under discussion. The list of techniques is by no means exhaustive. Rather, it is an attempt to provide procedures that are differentially applicable to the five strategy groups. The focus is on recommendations that tend to be differentially applicable, thus highlighting differences rather than similarities in case supervision.

## **Specific Client Profile**

### ***Risk Level***

As well as identifying the most appropriate intervention strategies for the offender, CAIS provides a risk level. The research-based risk level identifies the likelihood that an offender will experience a subsequent felony conviction or be revoked into an institutional setting in the next 24 months. Offenders in the low risk classification are least likely to behave in such a way as to experience these negative outcomes. Offenders in the higher risk classifications are more likely to behave in such a way as to experience these negative outcomes. Offenders in the higher risk classification may require more intense supervision both in the community and in institutional settings.

### ***Principal Service Needs***

The assessment report identifies both strengths and needs of the offender and his/her environment. When developing the case plan and establishing services, the caseworker should address the identified needs, incorporating the strengths when possible.

### ***Special Concerns***

This section will list the following:

- Critical concerns that require immediate consideration and possible action.
- Characteristics that should be considered when developing the case plan.



## SELECTIVE INTERVENTION – SITUATIONAL (SI-S)

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### Offender Characteristics

- Pro-social Values:** SI-S offenders generally have the most pro-social value systems: if the current offense is not the first, the offense history will be minimal (do NOT confuse this offender with the successful professional criminal who has committed a lot of crime and has simply not been caught). They tend to be in pursuit of the same goals as the non-criminal population: career, family, and community ties. They generally seek out non-criminal associates.
- Stable Lifestyles:** These offenders will be the most likely to work over 90% of the time, to stay with jobs, to have a stable residence, and to support themselves and their dependents. Their family backgrounds tend to be less chaotic than most offenders. They usually are fairly stable emotionally and are free of chemical addictions.
- Capable:** As one would expect, these offenders will be the most likely to have academic and vocational skills. They also have better problem-solving and social skills than most offenders.
- Offense Motivation:** Their offenses can usually be viewed as a temporary lapse or suspension of an otherwise normally functioning social value system. This lapse is often brought about by a temporary and unusually stressful circumstance, crisis, or temptation. Even with minimal intervention from the caseworker, these offenders are the least likely to re-offend.

### Goals of Supervision

- Resolve Crisis:** Assist the offender in resolving the temporary crisis that precipitated the offense OR the crisis created by the offense.
- Back on Track:** Assist the offender in returning to his/her general pro-social, stable life pattern.

### Caseworker/Offender Relationship

- Selective Resource:** Allow these offenders to use probation resources as needed, but avoid over-involvement, which may cause them to feel like the caseworker is directing their whole life.
- Selective Confrontation:** While they tend to be relatively honest and straightforward in most areas, confront attempts to minimize/rationalize the behavior that caused them to get into trouble.



<b>Cooperation:</b>	These offenders generally have a lot to lose by violating. They will usually be cooperative if they are simply informed of the conditions/consequences in a non-threatening manner. Initially, there may be some hostility toward the system because they don't see themselves as criminals and feel like they are being treated as if they are.
<b>Trust:</b>	It is usually appropriate to accept self-reports. When they lie, it will be in circumstances where most non-offenders would also lie.
<b>Positive Relationship:</b>	Attempt to maintain a relationship in which a positive, problem-solving approach can be maintained.
<b>Reduce Guilt:</b>	Often they will be feeling very guilty about their offense, and they may wish to hide this from the caseworker. Attempts to instill guilt or make them feel like criminals are usually counterproductive.

## Techniques of Supervision

<b>Selective Intervention:</b>	Once the initial crisis is resolved, only intervene when a serious problem arises or the offender asks for and needs assistance. For non-assaultive SI offenders, when the probable cause of the offending behavior has been resolved, consider closing the case, if possible, or moving it to an administrative or banked caseload.
<b>Rational Problem Solving:</b>	This group is the most likely to benefit from the more verbal, abstract, rationally based problem-solving approaches (e.g., rational behavior therapy).
<b>Crisis Intervention:</b>	Ensure that the temporary crisis leading up to the offense, or resulting from the offense, is being dealt with or has been resolved.
<b>Family Involvement:</b>	This may be appropriate, especially during the early stages of supervision. This may be aimed at marital or family stresses that helped produce the illegal behavior or to assist both the offender and family in dealing with feelings resulting from the offense.
<b>Casework:</b>	Usually the caseworker will have enough expertise to deal with most case needs without outside referrals once the initial crisis is resolved.

## Common Needs/Referrals

<b>The Offender:</b>	These offenders are the least likely to require extensive referrals. Because of their own problem-solving abilities, they can often take care of most of their problems using their own resources.
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- Counseling:** If the temporary crisis has exhausted the offender's coping skills, the caseworker may want to make a clinical referral. However, they are usually able to pay for these services themselves.
- Other:** Occasionally, these offenders may need referrals for other problems (e.g., vocational training).



## SELECTIVE INTERVENTION – TREATMENT (SI-T)

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### Offender Characteristics

**Pro-social, Stable, Capable:** Because the SI-T group has so many of the same characteristics as the SI-S group, the empirical scoring of the instrument is unable to differentiate this group statistically. If the scoring indicates that the offender is an SI case, the case must be classified SI-T if the offender has any of the following problems. The caseworker can remember these by the acronym C-S-E.

<b>SI-T Identifiers:</b>	<b>C-HEMICAL:</b>	Ongoing drug or alcohol abuse
	<b>S-EX:</b>	Sexual offense history
	<b>E-MOTIONAL:</b>	Serious emotional disturbance

While these offenders tend to do well in most areas of their lives, they have a specific ongoing problem causing the offense, which is what differentiates them from SI-S offenders. Whereas the SI-S offender's offense motivation tends to be the result of external circumstances, the SI-T offender is motivated by "internal" needs. Furthermore, while the SI-S's problem is temporary, the SI-T's is ongoing.

### Goals of Supervision

**Treatment Participation:** These offenders will often require treatment to deal with one specific issue (chemical abuse, serious neurosis, etc.). The goals are to get the offender to accept the fact that a major problem exists and to participate in an effective treatment program.

### Common Needs/Referrals

**The Offender:** These offenders are the least likely to require extensive referrals. Because of their own problem-solving abilities, they can often take care of most of their problems using their own resources. Occasionally these offenders may need referrals for other problems (e.g., vocational training).

**Clinical Treatment:** Unless the caseworker is a treatment specialist in the problem area manifested by the offender, a referral must be made to a specialist. Although the offender may be doing well in other areas (e.g., employment, residential stability), the caseworker must recognize that this does not indicate a successful resolution of the specific emotional problem that caused the offense.



## **Caseworker/Offender Relationship**

**Selective Confrontation:** Because the offender is pro-social and stable in other areas of life, it is difficult to face up to the offensive behavior, and the offender will typically be in a state of denial regarding that behavior. The caseworker must confront the denial and insist that the offender get treatment, using all the legal leverage at his/her disposal.

Even though the risk/needs classification may indicate a minimum level of supervision, it should be overridden until the problem is resolved.

**Cooperation:** These offenders generally have a lot to lose by violating. They will usually be cooperative if they are simply informed of the conditions/consequences in a non-threatening manner. Initially there may be some hostility toward the system because they don't see themselves as "criminals" and feel like they are being treated as if they are.

**Trust:** It is usually appropriate to accept self-reports only after the offender has accepted the fact that he/she has a significant problem.

**Positive Relationship:** Attempt to maintain a relationship in which a positive problem-solving approach can be upheld.

**Reduce Guilt:** Often the offender will be feeling very guilty about the offense and may wish to hide this from the caseworker. Attempts to instill guilt or make the offender feel like a "criminal" are usually counterproductive.

## **Techniques of Supervision**

**Selective Intervention:** Once the offender is actively participating in treatment, only intervene when a serious problem arises or the offender asks for and needs assistance. Monitor his/her involvement to ensure successful completion.

**Relational Problem-solving:** This group is the most likely to benefit from a more verbal, abstract, rationally based approach (e.g., rational behavior therapy).

**Crisis Intervention:** Consult with family and friends regularly to identify antecedents to crises before one occurs.

**Family Involvement:** Provide services to assist both the offender and family in dealing with the stress that results from the offender's behavior.

**Casework:** Insist on full participation in regular clinical therapy and/or substance abuse treatment. Involve family members/friends in monitoring behavior and identifying potential problems.

## CASEWORK/CONTROL (CC)

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### Offender Characteristics

- Unstable Life Pattern:** The predominant characteristic of the CC group is a general instability in their life situation (e.g., changing jobs frequently, family problems, chemical dependency, etc.). Whereas SI-T offenders often have one of these problems on an ongoing basis, CC offenders tend to have several happening at the same time. Typically, they repeat the instability they experienced in their own childhoods by failing to provide consistent support for their families, changing residences frequently, and experiencing marital conflict, often abusing spouses and/or children.
- Failure Orientation:** They experience a lot of failure in their lives, not due to a lack of ability like the ES offender, but due to a lack of goal-directedness. The fact is that they often possess marketable job skills and have the potential to develop them, but their failure to appropriately deal with their personal problems prevents them from maintaining steady employment. They become easily discouraged and abandon goals out of feelings of hopelessness and worthlessness. They tend to enter adult life with a negative self-perception established early in childhood, which they have already manifested by dropping out of school and associating with others like themselves (including spouses).
- Self-destructive:** As one would expect, this group often attempts to escape the pain of their chaotic lives through alcohol and drug abuse. They are also the most likely to consider and sometimes attempt suicide.
- Offense Pattern:** Offenses generally stem from long-term emotional problems, drinking or drug problems, and/or negative self-perceptions. Their offenses tend NOT to follow a consistent pattern but to include both felonies and misdemeanors of various types.

### Goals of Supervision

- Living Stability:** To increase stability in all areas of their lives: work, family, housing, etc.
- Emotional Stability:** To use their potential abilities by overcoming negative self-concepts and resolving long-term emotional problems.
- Sobriety:** To meet needs by substituting self-affirming behavior for self-defeating behavior (especially with regard to substance abuse).



## Common Needs/Referrals

<b>Mental Health Assessment:</b>	Mental health agencies should often be used for further assessment of the seriousness of the offender's overall emotional problems and to assist in the development of treatment goals and programs.
<b>Mental Health Treatment:</b>	Mental health professionals may need to become directly involved in treatment with many of these offenders, either on an inpatient or outpatient basis, depending on the seriousness of the offender's emotional problems.
<b>Alcohol/Drug Treatment:</b>	Alcohol/drug education, Alcoholics Anonymous, Narcotics Anonymous, Al-Anon, Adult Children of Alcoholics, and inpatient or outpatient treatment.
<b>Cognitive Training:</b>	Cognitive skills training: problem solving, social skills, creative reasoning, critical reasoning, moral reasoning, and management of emotions.
<b>Vocational:</b>	Vocational testing and training if offender lacks marketable skills.
<b>Structured Living:</b>	Sometimes structured living programs are necessary to bring about the necessary stabilization.
<b>Structured Living Activities:</b>	Programs geared to more constructive use (versus alcohol/drugs) of leisure time. The CC offender is often unaware of recreational opportunities.
<b>Marital Counseling:</b>	Often a serious need of the CC offender and his/her family. Child/spouse abuse is a frequent problem.
<b>Medical:</b>	Due to their self-destructive patterns, there are often undetected medical problems.

## Caseworker/Offender Relationship

<b>Case Manager:</b>	The usual role of the caseworker will be that of case manager (motivator and facilitator of treatment) rather than that of direct provider of most services. Nevertheless, a great deal of direct involvement is required. Because CC offenders tend to "drop out" or sabotage programs, the caseworker will often have to use considerable leverage to keep them involved.
<b>Support and Confrontation:</b>	Be supportive of offenders' attempts to deal with long-term problems. Because they are easily discouraged by failure, caseworker support during periods of crisis is crucial. However, when they avoid dealing with their problems, the caseworker needs to take a more confrontational stance.
<b>Positive Authority:</b>	Typically, this group will have had a very negative history with authority figures, beginning with parents, continuing in school, and, finally, with the criminal justice system. They will often expect (and sometimes attempt to

provoke) a negative relationship with the caseworker. Be aware of this tendency, and attempt to keep the relationship positive in spite of the offender's behavior. Shouting at them or belittling them simply perpetuates their negative self-perceptions and is almost always counterproductive. They can be confronted about their negative behavior in a positive manner.

**Stabilizing  
Influence:**

This group is the most "up and down" group emotionally. They report that everything is fine one week and hopeless (sometimes to the point of suicidal threats or gestures) the next. The caseworker should bring them back to reality when they are unrealistically positive and encourage them when they are discouraged. Model dependability and stability to these offenders by being available as scheduled and following through on plans. Resist the temptation to transfer or to revoke simply because they are so challenging.

**Persistence:**

They expect you to give up on them as many others have. They have often given up on themselves and are afraid to invest in new efforts because of so many past failures. However, they tend to believe that their failures are the fault of others and, therefore, tend to be blamers. Help offenders recognize the consequences of their behavior and that they can alter that behavior; however, if violations occur, you will have to do your job. Make it clear that you are not giving up on them.

**Encourage  
Independence:**

Although they may appear needy and have frequent crises, avoid doing for these offenders what they can do for themselves. A balance must be maintained between extending help and insisting that the offender puts forth reasonable effort. Doing too much for them contributes to their sense of helplessness and increases their guilt. When the caseworker encourages them to accomplish tasks on their own and insists that they *can* change their behavior, their self-confidence is enhanced.

**Avoid Self-guilt:**

Avoid feeling personally guilt-ridden or professionally inadequate if these offenders continue to get into trouble. If you are able to influence ANY positive behavior pattern changes, even if it is followed by more trouble, consider it a success. It is extremely difficult for these offenders to overcome their long patterns of failure and the lifelong messages from self and others that they are losers.

## **Techniques of Supervision**

**Casework and...:**

**Target** the most serious problems; **refer** to the appropriate agencies; and **monitor closely** for attendance, participation, and respective behavior change in their daily lives. Ask the offender specifically **how** the problem behavior is changing as a result of the referral agency's intervention.

**Control:**

The caseworker will often need to use the administrative (e.g., supervisor's intervention) and legal leverage at his/her disposal to maintain the offender's involvement in programs. This group tends to become easily



discouraged or to lose interest and gradually avoid getting the help they need.

**Demand Sustained Involvement:** Beware of quick, superficial solutions to lifelong problems, which these offenders often seek. Reinforce sustained and consistent involvement in long-term interventions.

**Negotiate Plans:** If the offender is involved in his/her plan and commits to the plan, there is a much greater chance of success. Getting offenders into programs without their involvement results in them feeling little personal responsibility.

**Behavioral Contracting:** The supervision plan should contain positive rewards for completion of specific behavioral objectives and negative sanctions for failure to complete. This group is more likely to sabotage plans than to commit new offenses. Well-designed case plans can help prevent this.

**Paradoxical Intervention:** For offenders who have repeatedly exhausted existing resources and lack motivation or need to defeat programs, it may be appropriate to announce that you are discontinuing further efforts on their behalf and that you are expecting nothing more from them than legal conformity. For those who have been resisting you for a long time, this may take the wind out of their sails. In order to continue fighting you, they almost have to make a positive adjustment in order to prove you wrong.

**If You Must Revoke:** If revocation becomes necessary, it is better to interpret it as necessary to control behavior than to interpret it as punishment. Punishment tends to reinforce the offender's negative self-perceptions: worthlessness, hopelessness, etc. Even at the point of revocation, remind the offender that he/she **can** change his/her behavior in spite of the obstacles, that it is his/her failure to control his/her behavior that necessitates society controlling it.

## ENVIRONMENTAL STRUCTURE (ES)

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### Offender Characteristics

- Lack Social/Vocational Skills:** The predominant characteristic of the ES group is their lack of social and vocational skills. They get into trouble for different reasons than CC offenders, whose offenses result from the chaos in their lives, or LS offenders, whose crime results from their criminal values. ES offenders behave badly as a result of their low ability to solve problems correctly and their naiveté and social gullibility (easily led).
- Intellectually Slow:** There is a strong tendency for the ES offender to have below-average mental capacity, although there are many offenders of average intelligence who have the above-stated characteristics for other reasons, e.g., social deprivation.
- Lack Insight/Impulsive:** Whatever the cause, they have difficulty with cause-and-effect thinking and lack insight (hindsight and foresight). This lack results in impulsive behavior because they are less capable of weighing the consequences of their behavior on either themselves or others. It also results in a lower ability to learn from past mistakes.
- Easily Led:** The lack of insight also results in a low ability to perceive the motives and concerns of others. Not understanding this, they are easily manipulated by more sophisticated individuals. Even when they recognize peer pressure, they tend to have low assertiveness skills.
- Absence of Malice:** Even though malice is rare in their motivation, they can become involved in assaultive offenses because of a low ability for empathy (for lack of insight), their inability to solve problems appropriately, or the influence of more sophisticated associates.

### Goals of Supervision

- Skills Building:** To increase survival (work and daily living) skills. To improve social skills (e.g., assertiveness, ability to judge character, ability to empathize).
- Impulse Control:** To increase the ability to think about consequences before acting.

### Common Needs/Referrals

- Testing:** Often vocational, I.Q., and adaptive behavior level testing is appropriate in order to place the offender in programs that are best suited to his/her level of functioning.



<b>Job Training:</b>	Basic skills training (e.g., Goodwill, sheltered workshops) or on-the-job training programs are recommended over long-term educational programs (which may only be marginally related to a job).
<b>Sheltered Living:</b>	ES offenders are often unable to manage independently. Choose living situations where the ES person is least likely to be victimized or adversely influenced (e.g., separate ES offenders from LS offenders in facilities or group living).
<b>Basic Skills Training:</b>	Use life-skills training programs that teach basic daily living skills, adult basic education (although many ES offenders will be incapable of getting a GED), and cognitive skills training (problem solving, social skills, creative reasoning, critical reasoning, moral reasoning, management of emotions, etc.).
<b>Psychological Consultation:</b>	While psychotherapy based on insight is usually inappropriate for this group, clinical psychologists can assist in testing and developing appropriate supervision plans.
<b>Volunteers/ Mentors:</b>	This group can benefit from working with volunteers/interns more than any other if the volunteers understand that these offenders' needs are very basic (e.g., learning the city bus routes, getting a driver's license, etc.). Find someone in their family or a mentor willing to provide time, assistance, and support. Such relationships can really turn things around for these offenders.
<b>Welfare Services:</b>	Some in this group may be eligible for/need SSI and other benefits: medical assistance, adult guardianship, county homemaker, visiting nurse, etc.
<b>Structured Leisure Time:</b>	The Association for Retarded Citizens has recreational and other programs that are appropriate for many ES offenders.
<b>Financial Counseling:</b>	ES offenders often have difficulties with money. Basic money management, including simple budgeting/counseling, is appropriate.
<b>Sex Education:</b>	Their bodies and glands are fully matured even though they lack social maturity, so they often need basic sex education. Planned Parenthood and other agencies have various helpful programs.
<b>Assertiveness Training:</b>	This can be helpful if the instructor gears the training to the specific needs of the ES offender.

## **Caseworker/Offender Relationship**

<b>Parent/Teacher:</b>	While not treating them like children, take on a parent/teacher type role.
<b>Non-threatening:</b>	Take a caring, giving, and non-threatening stance. Be patient and avoid being discouraged by slow progress and gradual change.

<b>Frequent Contact:</b>	ES offenders will often report more than required simply to let the caseworker know how they are doing and to seek verbal support. They need this. Give it!
<b>Emotional Attachment:</b>	If the caseworker is perceived as accepting and helpful, ES offenders tend to form quick attachments to the caseworker. Foster this initial dependence by giving tangible assistance.
<b>Direct Assistance:</b>	Do not expect ES offenders to follow through without direct, hands-on assistance, either from the caseworker or auxiliary resources (e.g., looking for a job, locating an apartment, etc.).
<b>Avoid Prolonged Dependency:</b>	Do not prolong the dependency after offenders begin demonstrating reasonably stable adjustment. Gradually get them to do more for themselves and encourage more independent decision making and/or identify people in the community (family, relatives, etc.) who can provide ongoing support.
<b>Set Realistic Expectations:</b>	When expectations are too high, ES offenders are likely to avoid the caseworker (e.g., not report) rather than confront the issue directly with the caseworker. The caseworker needs to anticipate the reasons for such relationship problems and take the initiative in rectifying them.
<b>Control Frustration:</b>	As with any offender, ES offenders need to be corrected concerning poor behavior. However, remember that they have a difficult time dealing with the requirements of the correctional system. When they fail, they will often lie to avoid dealing with their own inadequacy and to avoid displeasing the caseworker. Avoid angry confrontations with them. Allow minor problems (e.g., minor lies) to go unchallenged and concentrate on correcting serious problems using a concrete problem-solving approach. Angry confrontation tends to cause the offender to feel more threatened and increase, rather than decrease, their lying.

## Techniques of Supervision

<b>Environmental Structuring:</b>	Because this offender's behavior is more influenced than others by his/her surroundings, it is important to <b>positively structure his/her environment</b> to the greatest extent possible: living, working, and associating with pro-social peers and role models.
<b>Shape Behavior:</b>	Reward effort even when the exact objective was not achieved. Emphasize positive (reward) rather than negative reinforcement. A smile and a pat on the back goes a long way with this group. Deal with situations immediately, using immediate reinforcers for maximum benefit.
<b>Delay Gratification:</b>	Increase their ability to delay gratification by gradually introducing more delayed rewards.



<b>Case Plans:</b>	Set few, small, short-range, concrete, achievable objectives. Concentrate on finishing one or two objectives before starting others.
<b>Few Rules:</b>	Provide a few simple, concise rules. Concentrate only on those areas where they are most likely to have problems.
<b>Be Redundant:</b>	Do not expect them to generalize from one situation to another. Be prepared to cover things more than once and to go over matters several times.
<b>Be Concrete:</b>	Avoid discussing issues at an abstract level. For example, if the ES offender were to make an obscene phone call, discuss concretely how angry people (e.g., his mother) can get when this happens and what is likely to happen if it continues (“The judge will get fed up and put you in jail”).
<b>Build Empathy:</b>	Increase their ability to empathize by having them role-play the victim of whatever the behavior in question is.
<b>Role Play:</b>	Use role play and role reversal to help them practice dealing with problems in social situations (e.g., job interview, asking for a date).
<b>Group Work:</b>	These offenders can sometimes benefit from problem-solving groups if the groups are supportive and not confrontational.
<b>Build Self-esteem:</b>	Promote a positive self-image by focusing on tasks or assignments that can help build self-esteem.
<b>If You Must Revoke:</b>	Remember, these offenders have a limited capacity regarding cause and effect. If you must use jail or prison time, short stays will be as effective as longer periods of incarceration. The “message” is lost over time with most ES offenders.

## LIMIT SETTING (LS)

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### Offender Characteristics

- Criminal Values:** The most predominant characteristic of the LS group is that they have a fair degree of comfort with a criminal lifestyle. They often demonstrate a pattern of long-term involvement with criminal activities. CC offenders often have records as serious as LS offenders, but the crime emanates from the chaos in their lives. LS offenders, on the other hand, often view being a “successful criminal” as a major goal in their lives, in preference to pro-social goals. When they are unsuccessful at crime, they tend to view sanctions, even prison, simply as “the cost of doing business.” They tend to function well in prison (i.e., “easy time”), because they are adept at dealing with this system. Good behavior and program attainments in prison rarely change their basic values, which lead them back to crime when they are released.
- Manipulation:** While most offenders exhibit some degree of manipulation, it is a major feature of LS offenders. They seem to need to over-prove their ability to con others and to beat the system.
- Disregard for Others:** While the ES offender has difficulty empathizing because of an inability to generalize from one experience to another, the LS tends to display a callous disregard for the rights and welfare of others. Guilt over criminal activities usually has a programmed flavor (i.e., little remorse is present).
- Capable:** Contrary to ES offenders, who have low abilities, and CC offenders, whose abilities are hampered by their instability, LS offenders usually have at least average abilities and are able to manage these abilities. However, they direct them toward criminal activity and manipulation of others.
- Offense Motivation:** LS offenders seem to be motivated by power (manipulation), material gain (money, greed), and the need for excitement. Most of their crimes are motivated by all three. They often use weapons in their offenses out of the same three motivations.

### Goals of Supervision

- Public Protection:** This goal is rarely directly shared by the offender, but it must be the predominant agency goal with this group.
- Legal Means, Money/Power:** The best that can be hoped for is that the offender can be persuaded to achieve money, power, and excitement through legal means (e.g., legitimate full-time, stable, verifiable *employment*).



**Non-manipulative Relationships:** Involvement in non-manipulative (i.e., caring, sharing) relationships. Although the manipulation pattern is set, help them see the rewards of such relationships.

## **Common Needs/Referrals**

**Police:** Enlist assistance from the police and street contacts to monitor offender activities.

**Employment:** The best pro-social alternative for LS offenders to achieve their goals: money, power, excitement.

**Education/Training:** They tend to have good ability and high aspirations (sometimes unrealistic), and if properly motivated, they can benefit from long-term academic, vocational, or educational training. Academic/vocational testing may be needed for placement.

**Psychological Consultation:** Psychologists can sometimes help the caseworker develop case plans and behavioral programs. The caseworker may also need the help of the psychologist in dealing with the frustration and hostility that these offenders arouse. However, traditional psychotherapy is often used by these offenders as a means of avoiding incarceration or other legal consequences.

**Confrontation Groups:** Group counseling that emphasizes peer pressure and confrontation is more useful with this group than traditional psychotherapy because it pushes them to become involved, and it is harder to fool a group of peers.

**Financial Counseling:** If they can learn to manage what they earn legitimately, they may be less inclined to steal.

**Leisure:** It will have to be exciting (e.g., sky diving, rodeo riding, etc.).

## **Caseworker/Offender Relationship**

**Willing to Confront:** The caseworker must be willing to confront and deal with the offender's failure to comply with rules in a firm (but fair) manner in order to gain/maintain his/her respect. Even minor rule violations are often tests of the caseworker's willingness to act assertively. Failure to do so will be viewed as a sign of weakness and will not only reduce respect but influence as well. These tests often appear early in the caseworker/offender relationship.

**Professional Distance:** Often offenders will be over-conforming, agreeable, and friendly in order to receive less caseworker scrutiny of their behavior. Avoid compromising your authority by accepting favors, gifts, or services from these offenders. When these ploys do not work, offenders may become hostile. Take care to remain cool and professional, again in order not to compromise your

authority. However, be willing to provide needed services that are sincerely desired.

- Skeptical:** Even if the offender is conforming to agency rules, make sure that he/she is earning good wages at legitimate employment before reducing surveillance. Often these offenders are just waiting for law enforcement to be “off guard” to resume illegal activities.
- Frequent Contact:** The caseworker will generally need to be directly involved rather than act as a case manager. Although these offenders may have pronounced needs, motivation to work on problems is often questionable.
- Anticipate Hostility:** These offenders resent the caseworker’s interference in their lives and often become angry when demands are placed on them.
- Anticipate Guilt Trips:** Ploys designed to promote social guilt (e.g., “If you had a boss like mine, you would be more understanding...” or “I thought you are supposed to help people...”) and sympathy are often used. Do not feel guilty for doing your job, and do not alter your behavior if it is professional.
- Limit Setting:** Set appropriate, firm, specific, enforceable limits. Then enforce them. Inappropriate limits (e.g., attend church) will be overruled. Ambiguous limits (e.g., attend work regularly) will be interpreted in the offender’s favor. Unenforceable limits (e.g., no drinking) will be broken without consequences.
- Surveillance:** Unscheduled home visits (taking proper precautions for safety) to see if material acquisitions exceed legitimate income, etc., are appropriate. Close checks on employment attendance and income are important.
- Legal Leverage:** If you do not bother the police, D.A., and judge with the petty violations of your ES and CC offenders, you are more likely to get the help you need with the LS offenders’ violations. However, you will need to prove your violations well. Ask for reasonable sanctions (e.g., weekends in jail for rules violations instead of revocation), and you are more likely to get them.
- Document:** Good recordkeeping is absolutely essential in dealing with these offenders, because they will challenge everything you say legalistically.
- Rewards:** Be careful about reducing surveillance, issuing travel permits, etc. without a clear pattern of changed behavior. Never reward on the basis of a promise, only on delivery of the promise. Even when reducing office visits as a reward, make random checks on behavior.
- Avoid Moralizing:** Not only does it not work, it reduces the offender’s respect for you more than you might think. Instead, focus on the impractical aspects of the offender’s behavior within his/her frame of reference.



<b>Advocates</b>	Show the offender how he/she can achieve his/her money/power goals
<b>Alternatives:</b>	legally better than he/she can illegally. It might not be as exciting, but it beats the boredom of prison.
<b>Responsibility:</b>	They will often try to evade responsibility for their own behavior by bringing up past sufferings or victimization by society. While these may have some truth, it is usually an excuse to justify their own behavior rather than to increase their insight about themselves. Do not allow them to distract efforts at dealing with their own behavior in this way. Keep them focused on their responsibility for their own behavior regardless of the past behavior of others.
<b>Stay On Task:</b>	These offenders will try to divert attention away from their offensive behavior (often by making friendly small talk). It is important to minimize this and to keep the focus of your attention on their behavior in the community.
<b>Focus on Reality:</b>	Help them realistically look at the difficulties created for them by their criminal lifestyle. Focus on long-term consequences in spite of potential short-term success.
<b>Challenge Their Abilities:</b>	Attempt to develop innovative, challenging opportunities to provide this group with satisfying alternatives to a criminal lifestyle. They often have capabilities that can be channeled into profitable and legal areas.